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MAR 76 J M PENNINGS, P S GOODMAN

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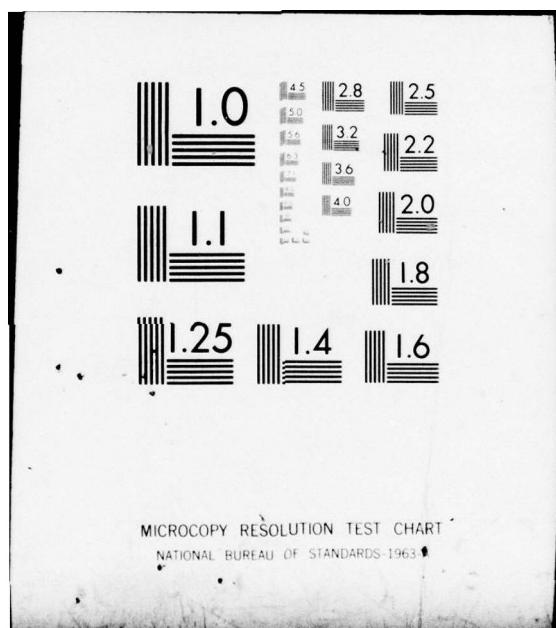
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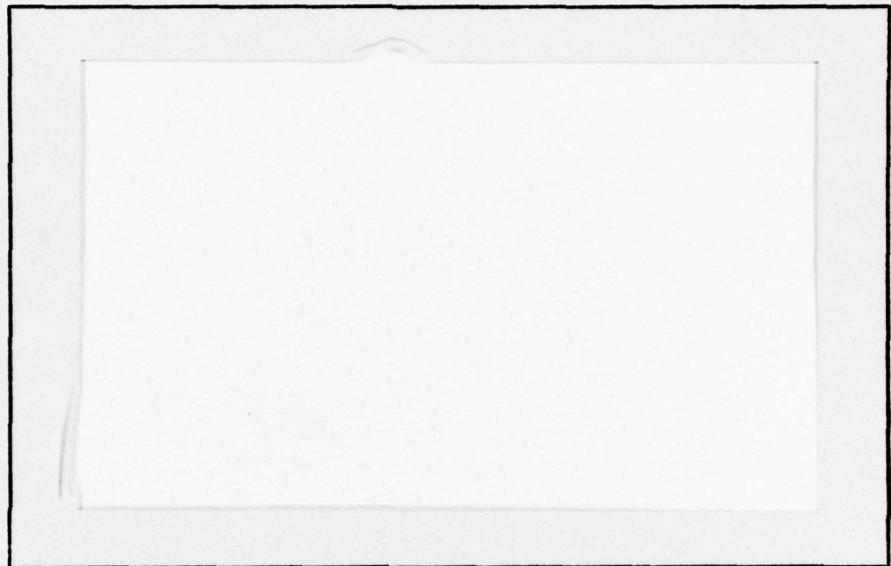


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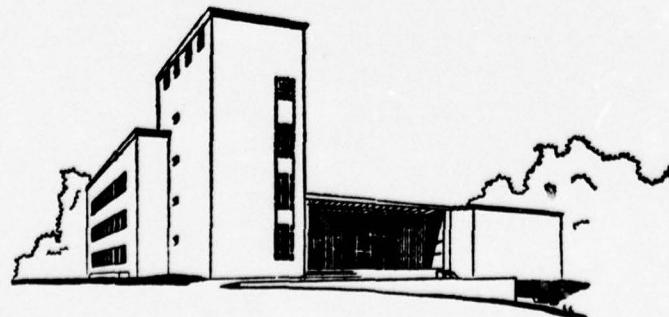


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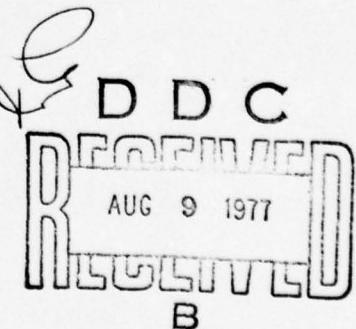
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**Toward A Framework of
Organizational Effectiveness**

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Toward a Framework of Organizational Effectiveness

The conceptual framework of organizational effectiveness developed in this paper is an attempt to provide new insights into organizational theory and to stimulate new lines of research. The various perspectives found in recent literature on organizational effectiveness need to be integrated and their research strategies and inconsistencies reconciled. This paper develops a framework designed to accomplish that. Furthermore, a framework should reflect the complex and dynamic nature of organizations as well as be sufficiently specific to facilitate evaluation.

Need for a Conceptual Framework

There are a number of reasons for developing a new framework. For example, during recent years many pertinent papers have highlighted theoretical, empirical, and pragmatic issues in organizational effectiveness--leading reports include Mohr, 1973; Price, 1972; Steers, 1975; Gibb, 1972; Seashore and Yuchtman, 1967; Etzioni, 1962; Mahoney and Weitzel, 1971; and Campbell et al., 1975. Surveying the literature, however, reveals that there is no agreement on a definition for organizational effectiveness; the number of definitions covaries with the number of authors who have been preoccupied with the concept. In addition to the many different definitions of effectiveness there is a detectable tendency to view effectiveness as either one-dimensional or multidimensional, centering around two distinct approaches: the "systems approach" or the "goal approach."

Briefly stated, the systems approach views effectiveness as the

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degree to which the organization can preserve integration among its parts. The goal approach views effectiveness as the degree of goal achievement. As will be elaborated below, these approaches also differ in their treatment of the concepts of growth and survival.

Another issue concerns the determinants of organizational effectiveness. There is no theoretical delineation in the current literature of the structure of organizational effectiveness determinants, and there has been little characterization of the relative role of internal and external determinants. In addition, there is a need to distinguish between determinants and elements of effectiveness. Some writers conceive of adaptability or communications, for example, as elements of effectiveness whereas others view these as determinants.

Another problem concerns the role of constituencies. Constituencies yield the appropriate standards by which effectiveness can be judged. Whether one adopts the goal (what is the appropriate goal) or the systems approach (what is the appropriate allocation of resources to maintain the organization), the problem of defining the role of constituencies needs to be specified in any conceptualization of organizational effectiveness. A related issue concerns the different levels of aggregation for studying organizational effectiveness. For example, the focus may shift from the level of the organization to the departmental level (e.g., Cyert and March, 1966) or to the next higher level of organization, the industry or market to which

the organization belongs (cf. Hirsch, 1975). More important is the problem of integrating these levels of analysis when the focus is limited to effectiveness on the level of organization per se.

Time is another aspect that is relevant for effectiveness but which often has been ignored or held constant. Many studies--primarily those adhering to the goal approach but also in areas such as economic and traditional accountancy--have adopted a static view of effectiveness. This is inherent to "degree of goal achievement" which implies a specific, static end state. However, many end states vary temporarily, and longitudinally derived patterns of end states would add a significant expansion to the notion of organizational effectiveness.

Apart from the above theoretical considerations, the empirical literature shows little cumulative character. Price (1968), for example, being a representative exponent of the goal approach, formulated many propositions concerning determinants of organizational effectiveness. There is very little empirical research to date motivated by his propositions. Similarly, the widely quoted publications of Seashore and Yuchtman (1967) and Yuchtman and Seashore (1967) have not been able to trigger subsequent research in line with their thinking. One explanation of this phenomena is offered by Campbell et al. (1975) in their extensive review of the literature. They suggest that organizational effectiveness research is largely empirical with little theoretical guidance.

Campbell and his associates conclude that there is a clear need for new models to integrate previously unconnected research findings.

Indeed, the absence of theoretical guidelines makes it very difficult to conduct an adequate review about the present state of knowledge on organizational effectiveness.

In this paper we first provide a brief outline of our view of organizations. Then the internal and external factors which define and explain organizational effectiveness are discussed. Third, the conceptual and operational dimensions and possible determinants or antecedents of effectiveness are dealt with. Finally, the framework is contrasted to some pertinent literature.

A Conceptual Framework

Organizations--A Definition

A description of organizational effectiveness cannot be conducted without a definition of complex organizations. The earlier mentioned approaches to organizational effectiveness--the goal and the systems approach--often convey different views about the nature of organizations. For example, the goal approach is primarily concerned with organizations as rational devices which enable the owners or decision makers to attain end results in an optimum way (Weber, 1947; Price, 1968; and Cyert and March, 1965). The systems approach in contrast stresses the integration and maintenance of the total organization (e.g., Katz and Kahn, 1966; Gibb, 1972).

In the present paper, organizations are seen as open systems which have exchanges with their environment. They are also subject to the influence of internal and external constituencies that negotiate a complex set of constraints, outcomes, and referents which comprise elements of organizational effectiveness. In the present discussion the notions of system and constituency form the most essential ingredients of the definition of organizations.

Organizations are open systems with distinct input, transformation, and output cycles. In a global sense, they acquire inputs from the environment, process these inputs, and dispose of the resulting outputs. Most organizations show a workflow process in which these three stages are arranged sequentially.

The input and output subsystems are at the interface between the organizations and their environments. Naturally these subsystems as well as the transformation subsystem can be further divided into smaller subsystems. For example, the input subsystem includes subunits such as personnel, purchasing, and inventory maintenance. They are in charge of acquiring certain inputs such that the transformation subsystem or its subsystems can operate smoothly. The partitioning of systems into subsystems may correspond with the actual differentiation of an organization into subunits or departments, although this does not always follow. The differentiation of an organization into subsystems or departments is important for it may help identify possible determinants and referents of organizational

effectiveness. Subsystems are interdependent and the activities in one of them may have consequences for the other ones. Depending on the magnitude of interdependence, organizations have coordination and integration mechanisms to attempt to mesh the subsystems optimally. Organizations can control some factors better than other ones. It is likely that internal conditions are more subject to organizational control than environmental conditions. Therefore, it would be reasonable to expect that the activities of the transformation subsystem as well as its linkages with the other subsystems is more likely to be affected by the organization itself, especially if the input and output subsystems succeed in sealing off environmental influences. These latter subsystems are more dependent on conditions beyond the immediate control of the organization because of their close proximity to the environment.

Besides facilitating the identification of internal determinants of effectiveness, viewing organizations as open systems also helps in listing a wide range of constraints and referents of organizational effectiveness. Such a strategy helps avoiding an exclusive focus on output parameters such as profit or sales volume. By differentiating organizational activities into three subsystems it is possible to generate estimates of organizational effectiveness that pertain to each of them, thus enlarging the scope of effectiveness.

The second important ingredient of the present view of organizations is the assumption that organizations comprise internal

horizontal and vertical interest groups or constituencies having potentially incompatible goals. Conflicts among these groups require reconciliation which often takes the form of bargaining and coalition formation. The resultant consensus frequently implies a set of mutually established constraints and a hierarchy of preferences.

The conflict among subunits (e.g., sales vs. manufacturing) and their goals pertains to horizontal groups of constituencies within the organization which are striving to realize their own preferences. However, the complementarity among them puts limits on the suboptimization; that is, the subunits do not have the freedom to refrain from collaboration.

Besides horizontal constituencies there are also vertical constituencies such as employees, management, and owners/stockholders. It is more difficult to identify the interdependence among such constituencies--especially because their interests tend to be latent. While horizontal subunits have rather clear boundaries and make unique contributions to the organization, the vertical differentiation may not be visible or may be only partly visible. For example, there may be no separation between management and ownership or between lower and higher levels of management.

This paper borrows Thompson's (1967) notion of "dominant coalition." The dominant coalition comprises a direct and indirect "representation" of horizontal and vertical constituencies with different and possibly competing expectations. The consensus among

its members can be employed as a vehicle for obtaining data on organizational assessment. The concept of dominant coalition is attractive as it allows the identification of constraints and referents for input, transformation, and output; these may have different degrees of saliency or importance for the different constituencies in the dominant coalition. Somehow, the preferences and expectations are aggregated, combined, and shared by the members of the dominant coalition. By invoking the concept of dominant coalition it is possible to preserve the notion of organizations as rational decision making entities. Also, it makes explicit that our concern is organizational effectiveness and not effectiveness of lower or higher levels of aggregation (e.g., individual and industry level or student and school district level).

This paper, then, follows Thompson (1967) in integrating two strategies for defining complex organizations. Organizations are viewed as comprising various constituencies which define the referents and other elements of organizational effectiveness and which are arranged around an input, transformation, and output sequence. These constituencies have competing and potentially incompatible objectives which are differentially accepted, sanctioned, and represented by the dominant coalition--the ultimate source for establishing referents, dimensions, and constraints which define organizational effectiveness. The partitioning of the organization into subsystems may facilitate the identification of constraints,

referents, and ideal outcomes as well as the determinants which explain why organizations differ in effectiveness. It should be stressed, however, that determinants internal to the organization and subject to its control are not the only relevant antecedents. Indeed, this paper will argue that environmental conditions are crucial in explaining interorganizational variations in effectiveness. Furthermore, the definition of constraints and referents is not the sole prerogative of internal interest groups. There are also external constituencies which influence the evaluation of an organization's effectiveness. This dual nature of environment with respect to organizational effectiveness requires a further elaboration.

Organizational Environment

The environment of an organization consists of individuals, groups, and organizations which provide resources for organizational input and which are recipients of organizational output. Organizations depend on these actors for both resources and information exchanges; this dependence has important implications for effectiveness. Actors include buyers, sellers, competitors, and governmental agencies. They play a dual role as tangible external determinants of effectiveness as well as external constituencies.

Actors in the environment are determinants of effectiveness when they have some control over the focal organization's input acquisition, transformation, or its output disposal. Organizations either adapt themselves to this pool of actors and in turn have some control over

them, or they select themselves into an environment that is congruent with their goals, technology, and structure.

Some actors may also be considered as external constituencies. Influential organizations such as some suppliers, competitors, or regulatory agencies set constraints and define appropriate referents of organizational effectiveness which become incorporated in the overall assessment of organizational effectiveness. Indeed, in this sense one would view the organizational environment as a political economy composed of constituencies.

The framework to be developed here recognizes this dual view of organizational environment with respect to organizational effectiveness. It is necessary, however, to further specify the organization-environment relationship and to show the connection between these two views.

Each organization has dyadic relationships with organizations in their environment. Figure 1 provides a simplified illustration of such a set of dyadic relationships. The focal organization, X_f , has exchanges with suppliers, buyers, and "third parties" such as regulatory agencies. Furthermore, the focal organization may be a monopolist, an oligopolist, or it may face a large number of competitors. Thus, in Figure 1, X_j may be zero, a few, or many. Organizations belonging to an industry or market are represented in Figure 1 by the symbols X, S, B, T, or both. Figure 1 gives a representation of the environment from the perspective of the focal

-Figure 1 about here-

organization and is somewhat analogous to Evan's (1972) "organizational set" and Thorelli's (1967) "ecosystem." An organizational set consists of all organizations with which the focal organization has some exchange relationship. An ecosystem is a collection of all relevant environmental conditions and actors which impinge on the focal organization.

Actors are to be considered relevant as "determinants" to the extent that their exchanges with the focal organization are nonsubstitutable, critical, and have a certain degree of institutionalization. These aspects indicate the likely influence of suppliers, buyers, or third parties on the focal organization's activities and hence its effectiveness. This influence should covary highly with awareness of the relationship between the focal organization and external actors.

Substitutability refers to the replaceability of suppliers or customers from the point of view of the focal organization. Criticality refers to the importance of these actors to the focal organization (e.g., Hickson et al., 1971). For example, steel is an important input for a firm in the automotive and a firm in the construction industry (focal organization), although a steel supplier may be more critical for the first one than for the latter. However, steel is an undifferentiated product and there are many domestic and foreign firms which compete with the supplier(s) of the focal organization. It is reasonable to suggest that substitutability and criticality have

a multiplicative effect on the focal organization; that is they both have to be present for the actor to influence the focal organization. Finally, institutionalization refers to the level of organization or structuring of the actor. Suppliers and buyers may be critical actors but they often have little countervailing power unless they become organized into, for instance, farmers' cooperatives and consumer associations. The institutionalization will reinforce the effects of nonsubstitutability and criticality.

The influence of dyadic relationships between the organization and the environmental actors reflects itself in awareness. Awareness is probably highly associated with influence. The environmental actors may not always be aware of the magnitude of their influence on the focal organization--this awareness would appear to be an important necessary condition for the actor to exploit it for its own benefit. Influence and awareness among members of the focal organization can be assessed by traditional survey techniques or by public and company records (e.g., Pfeffer, 1972).

Some actors serve as both a determinant and a constituency with respect to the focal organization. We assume there is a strong correlation between the potential influence on a focal organization's effectiveness and the ability (as a determinant) to contribute to the setting of constraints and the definition of referents. That is, an actor has to be a determinant in order to be an external constituency. While some organizations have both the ability to

influence the focal organization and the incentive to exploit it, other organizations refrain from their potential role of a constituency. Organizations which refrain from active involvement in the dominant coalition of another organization may do so because of fear of legal reprisals (e.g., antitrust or simply because they operate with constraints that limit the scope of their organizational activities. In contrast, there are other organizations which have little immediate impact on another organization's input, transformation, or output disposal process but do serve in a constituency role. For example, many black community organizations have introduced constraints into firms' hiring practices. These "constituencies" have either worked through other constituencies (e.g., government regulatory agencies) of the focal organization or have directly confronted the focal organization. This type of constituency differs from the modal case in that it is not involved in a dyadic relationship with the focal organization over exchanges in inputs or outcome disposal. Its major orientation is to influence the focal organization in adopting a new standard for evaluating effectiveness. This distinction among organizations which serve as both determinants and constituencies, only determinants, or only constituencies is intriguing and needs further exploration.

Summarizing, two views of organizational environment are distinguished. The concept of organizational set may be useful in identifying external actors which affect the organization's input,

transformation, and output systems. This views environment as a set of determinants of effectiveness which requires organizations to be tuned in environmentally so that they can perform effectively. The organizational set may also include actors which have a strategic role and can be identified as external constituencies. This view represents the environment as a "political economy" which requires the focal organization to manage interorganizational relationships. This meaning of environment is clearly visible when the focus is on the homogeneous sets of organizations which coordinate their activities due to mutual dependence as in the case of oligopoly. These two views of environment are complementary in dealing with the conceptualization and explanation of organizational effectiveness.

This analysis of organization and environment has been at the level of the organizational set--that is, those organizations with a direct exchange relationship with the focal organization. These organizations which interact with the focal organization do not exist as some collective structure. That is, there is no collectivity of suppliers, buyers, regulators, etc., which interact with a particular focal organization. To understand completely the roles of environment and organization as they bear on organizational effectiveness one might have to move to a higher level of analysis. This level is exemplified by the market or industry, and it is represented by the symbols of B, S, T, and X in Figure 1. Unlike organizational sets ("primary environment"), industry or markets ("secondary

environment") may have distinct patterns of coordination, communication, and stratification. Organizations belonging to this "secondary environment" do not have exchange relationships with the focal organization but can potentially influence its suppliers and environment. Market structure of suppliers or buyers may indirectly influence the degree to which a supplier or buyer affects the focal organization's input or output subsystem. Thus, it may be necessary to move to the next higher level of analysis and identify collective structure among customers, suppliers, or competitors in order to fully understand their strategic and possible collective role toward the focal organization.

Organizational Effectiveness-- A Definition

Organizations are effective if relevant constraints can be satisfied and to the degree that organizational results approximate or exceed a set of referents for multiple outcomes.

Constraints. Constraints are conditions that must be satisfied for an organization to be considered effective; these conditions are operationally defined by a set of referents or standards. Failure to meet constraints represents a state of organizational ineffectiveness. Constraints appear in organizations as policy statements or decision rules that guide behavior. For example, statements such as maintaining market share x percent, maintaining quality at y level, not doing business in foreign countries requiring political kickbacks, all represent constraints in the organization.

Outcomes. Organizational outcomes represent desired end states or goals, specified by the dominant coalition and assessed by a set of referents. Organizational outcomes and constraints are similar in that they both are used in the assessment of effectiveness. Also they both can encompass the same substantive dimensions.

Organizational outcomes and constraints differ in two respects. First, outcomes receive special attention from the dominant coalition. When certain dimensions receive special attention because they are more closely related to the motivations of central decision makers and are more often used in the search for alternative courses of action, they are considered organizational outcomes versus constraints (Simon 1958). That is, whether achieving a particular profit level or quality level is an outcome or constraint depends partially on whether one is more central to the organization's dominant coalition. A second distinction is that outcomes may or may not approximate a referent whereas constraints must be satisfied as a necessary condition of organizational effectiveness. Degrees (or the relative amount) of organizational effectiveness can be assessed by the degree to which results of an outcome (e.g., sales) approximate or exceed a referent. For a constraint, failure to satisfy a referent leads to organizational ineffectiveness, meeting the referent imbedded in the constraint provides the necessary condition for effectiveness, while exceeding the referent does not lead to a greater degree of effectiveness. For example, an

organization might want to increase profits by x percent and at the same time maintain quality of their services at y level. If maintaining the quality level is a constraint, it would be a necessary condition for effectiveness. Failing to maintain y level would lead to ineffectiveness, while exceeding y level would not add to effectiveness. On the other hand, increasing profitability beyond the x percent level would be an indication of a greater level of effectiveness than if the organization achieved the x percent level. Similarly, achieving the x percent level would be preferred to a level below x percent.

Referents. Referents are the standards against which constraints and outcomes are evaluated. That is, the referents imbedded in the constraints and outcomes specify a priori the dominant coalition's standard of effectiveness. The actual results when compared to these referents provide a measure of organizational effectiveness.

Referents can be internal or external to the organization. Internal referents are standards unique to the given organization while external referents refer to standards based on information from other organizations. Referents can also be categorized in terms of whether they are static or dynamic. A static referent refers to a particular point in time; the dynamic referent concerns rate of change over time. Providing services to "x" number of clients would be an internal static referent while comparing the market share of firm A with B, would be an example of an external static

referent. If a welfare agency wanted to increase its services to a larger population of clients by ten percent, this would be an example of an internal dynamic referent, while comparing rates of increases in market share between firms would illustrate an external dynamic referent.

-Table 1 about here-

Table 1 presents the three basic elements in our definition of effectiveness. Constraints and the focal outcomes represent the two objects of evaluation. Referents are the standards available. The cells derived from the table illustrate the different types and combinations of referents that can be applied to the constraints and outcomes.

Evaluating organizational effectiveness is a complex process since multiple constraints and outcomes must be specified. It is highly unlikely that one can evaluate effectiveness with a single criterion. For each constraint or outcome multiple referents may be assigned. The task in evaluating effectiveness is one of comparing actual results with the referents imbedded in the constraints or relevant outcomes. Evaluating effectiveness is an ex post rather than ex ante task. It can be argued that the actual behaviors or outputs must satisfy or meet the referents for the constraint in question. For outcomes, the behavior or outputs can meet or exceed the referents as an indication of effectiveness. Evaluating effectiveness is also a relative activity. The closer the organization approximates the referent in the outcome, the greater

the effectiveness. An asymmetrical relationship for constraints is postulated. Failure to satisfy the constraints leads to ineffectiveness rather than to degrees of ineffectiveness. The process of evaluation is feasible only when referents can be stated in an operational form.

Efficiency--A Definition

Efficiency is the ratio of the units produced or obtained to resources or costs required to obtain or produce that unit.

Efficiency measures the amount of resources used relative to outputs in the processes of acquiring inputs, transforming inputs, and disposing of completed outputs or services. For example, manpower is a resource the organization uses to obtain inputs, to transform these inputs, or to dispose of the created outputs. The ratio of supplies acquired over the labor cost of acquiring these supplies is one measure of input efficiency. The number of units produced over labor inputs is a common efficiency measure used in the production or transformation process. The cost in disposing of a product is a measure of output disposal efficiency.

The knowledge of a particular ratio of outputs over inputs is not in itself sufficient to evaluate efficiency. The ratio is at best a statement of an actual state of affairs. As was the case with effectiveness we need to be able to specify constraints and referents. Table 1 which describes the relationships among constraints, outcomes, and referents equally applies to our discussion of efficiency. Simply substitute the input-output ratio for "outcome" in that table. That

is, for any constraint the referents can be internally or externally static or dynamic. And for the efficiency ratio, the referents can be defined as static-dynamic and internal-external.

For example, an organization can try to increase its labor efficiency ratio by ten percent (internal dynamic referent) while maintaining an accident level (constraint) comparable to other similar organizations (external static referent).

Effectiveness and Efficiency

Effectiveness and efficiency are similar in that both incorporate the concepts of constraints and referents. Effectiveness and efficiency differ in that the former includes only output while efficiency is a ratio of inputs and outputs. Another distinguishing factor is that efficiency is most often used to describe the transformation rather than the input or outcome processes. The manpower efficiency ratio (output-manpower hours) or equipment efficiency ratio are common ways organizations describe the transformation process. In addition, researchers tend to use "organizational effectiveness" rather than "organizational efficiency" since the term "efficiency" carries negative connotations.

In this paper we view effectiveness and efficiency as complementary differing only in whether one wants to investigate output alone or outputs in the context of resources used. During the subsequent discussion reference will usually be made to the first concept alone, although the discussion is also germane to efficiency.

The fact that efficiency has been used to describe transformation processes does not reflect an inherent characteristic of efficiency. Efficiency can be used to describe input or outcome disposal processes. Also, the fact that the term effectiveness seems more palatable than efficiency should not lead researchers to avoid the concept of efficiency. Indeed the term "efficiency" may be a more useful indicator of an organization's performance.

Organizational Effectiveness and Time Frame

Another critical issue is the determination of time periods for assessing effectiveness. Time periods for assessing the consequences of organizational decisions vary widely. In some cases the results of a decision are known immediately; in other cases consequences are not known for several years. Failure to identify the appropriate period leads to misspecification in assessing organizational effectiveness. While there is no simple way to specify the time periods, a number of factors can be considered.

First, the most obvious period to use is the annual fiscal period since this corresponds to how most organizations generate their data. On a practical basis, information would be readily available during this period, and most organizations would formally establish new constraints, referents, and outcomes during this time.

Time periods might also be identified by using a variant of Jacques' concept of time span (Jacques, 1954). Effectiveness could be evaluated within the length of time necessary to determine if a

decision (or set of decisions) was unacceptable. Consider assessing the effectiveness of the input process in acquiring manpower. In this case effectiveness of the manpower decisions would be assessed in three years with the time period being the length of time it takes to determine acceptable performance.

Changes in major external determinants of an organization's effectiveness can also be used to determine time periods. Whether an organization operates in an expanding or contracting environment clearly bears on how well it can dispose of its outcomes. One strategy in defining time periods might be to use major changes in external factors (e.g., the period of a contracting market) as a boundary condition. So if one were to evaluate the effectiveness of the acquisition of manpower inputs, the time period would be determined by major changes in the labor market. A swing from relatively low to high unemployment would suggest two time periods for analysis (e.g., the low and high unemployment periods).

To assess the implementation of a new government policy, one could take the time during which a program is in effect and assess the responsible agency's efforts during that period.

Organizational Effectiveness--Subsystems

A basic premise is that effectiveness is multidimensional in nature. There is no single or ultimate constraint or referent to define the effectiveness of the organization. These aspects of effectiveness are germane to the organization as an open system with

input, transformation, and output disposal processes. These subsystems are the major foci of organizational effectiveness, and within each there are usually multiple foci for assessing effectiveness. Each subsystem has multiple constraints, organizational outcomes, and related referents. Comparison of actual results with the referents for the constraints and outcomes for each subsystem represents one measure of effectiveness.

The strategy at this stage of theory development is to examine effectiveness in terms of the multiple foci found among the three major subsystems. As our knowledge develops we may be in a better position to understand how to pool these foci of assessment.

Input Process. Input processes refer to the acquisition of resources necessary to make the organization function: labor, capital, technology, and material represent four general types of inputs. Each of these general types could be further divided into subdimensions. Labor might be divided into blue collar, white collar, and managerial; capital into short and long term financing; technology into machinery and information; and materials into indirect (e.g., energy) and direct (e.g., raw materials). For each dimension, constraints, outcomes, and referents would be specified. Effectiveness and efficiency would be defined for each. That is, the relationship between the actual results and the referents imbedded in constraints and outcomes would be examined for each dimension.

For example, an organization might want to increase the number of college graduates hired (an outcome). A referent indicating the desired increase (x percent) would be established. Also, the company must comply with nondiscriminatory employment guidelines (a constraint). If the constraint is satisfied, then the more the number of college graduates exceeds the x percent referent, the greater the effectiveness. In this conceptualization there is no general measure of input effectiveness.

Transformation Process. The transformation process refers to the unique modification of inputs by the organization and the creation of a new output. The organization combines the inputs of labor, capital technology, and materials to create an output.

Effectiveness (and efficiency) can also be defined in reference to the transformation process. Given a transformation subsystem and its pertinent set of constraints, referents, and outcomes, effectiveness can be determined by comparing actual results to the outcomes, constraints and referents. Effectiveness is specified with the different classes of producing units in this subsystem.

Output Disposal. The output disposal process concerns a transaction between the organization and its environment. The organization's output is disposed to a client and in return resources flow back into the organization as a new input.

Effectiveness in the context of output disposal would be treated in the same way as the input and transformation processes.

First, a set of output disposal dimensions must be identified. All the input categories (labor, capital, technology, materials) are pertinent for output disposal as well.

For example, a firm not involved in selling equipment might decide to sell some machinery. This transaction is not part of the organization's charter but can represent a substantial gain or loss to the company. Therefore, it would be treated as an output disposal. Another class of categories for output disposal follows directly from the transformation process, that is, the different products produced in the transformation subsystem.

Given each of these subsystems it is essential to identify the constraints, outcomes, and respective referents for each output. If all constraints are satisfied, effectiveness is then measured by the relationship between the actual results and desired outcomes and referents.

In examining organizational effectiveness we have primarily focused on "economic" dimensions. There are many noneconomic aspects that could be specified by the dominant coalition. For example, the dominant coalition could define employee satisfaction as a desired organizational outcome. This outcome could appear in all three subsystems--inputs, transformation, and outputs--since the organization's members are found in each class. Other desired outcomes might concern actors in the organization's environment. For example, the dominant coalition might identify improvement of

community-organization relationships as a desired end in itself. This would represent an outcome to be used in evaluating effectiveness. It could be placed in either the input or output classes since both deal with the organization's external relationships as a desired outcome. Noneconomic internal outcomes such as satisfaction, will appear in all three subsystems--inputs, transformation and output disposal--while external outcomes can appear in the input or outcome disposal subsystems.

Our conceptualization thus far has treated the three subsystems as equivalent. Organizations must acquire labor, capital, technology, and material inputs, and the degree of effectiveness can be assessed in terms of how these inputs are acquired. Similarly, organizations transform inputs and dispose of them. While we have argued that there is a commonality across organizations with respect to these subsystems, it is also important to recognize that the relative importance of these subsystems and, hence, the set of possible outcomes, constraints, and referents may vary across different types of organizations. For example, some organizations such as financial institutions (with a primary mediating role) may have negligible transformation subsystems.

Determinants constitute the antecedents or causal factors for explaining the degree of organizational effectiveness. They affect or determine actual organizational results. The nature of the determinants is important because they provide a way to attach meaning to changes in effectiveness. Variance in organizational

effectiveness can be explained by random events (e.g., natural disaster) or by nonrandom events (introduction of a new technology).

To understand the meaning of effectiveness it is important to identify the determinants.

The major determinants of effectiveness can be classified as external or internal to the focal organization. External events may be random or nonrandom in nature. External random events refer to natural disasters, major international developments (e.g., oil decisions by OPEC countries), and recessions. These events are unanticipated and uncontrollable by the focal organization. The other major category of external determinants concerns the structure of the relationship between the focal organization and the actors in its environment. Specifically the nature of the relationship among environmental actors such as suppliers and customers, and between these actors and the focal organization is an important determinant of organizational effectiveness. If the supplier's market is characterized by few suppliers and little substitutability for required input, then the suppliers will have an influence over the focal organization's input process. Decisions by the suppliers can substantially affect the focal organization's effectiveness and efficiency. Other factors affecting the degree of influence exercised by the external actors on the focal organization include: the criticality of the resource for the focal organization and the degree of institutionalization of the external actors.

Internal determinants of effectiveness can be classified as

labor, capital, technology, materials, and organization. Labor refers to the quantity, quality (e.g., skill level), and psychological characteristics of the work force. The psychological characteristics of labor include the motivational state of the worker. The higher the motivational state the higher the levels of effectiveness and efficiency.

The capital, technology, and materials represent other determinants of organizational effectiveness. Innovations in technology, capital structure, or materials can substantially change the character of the input, transformation, and output disposal processes, and thus effectiveness and efficiency.

The organizational determinants include the social structure of the organization unit (e.g., centralization, specialization, and formalization) to the process (e.g., communication, socialization, and the allocation of positive and negative rewards). The basic hypothesis is that the nature of the organization is a determinant of actual organizational results which bear on the degree of organizational effectiveness and efficiency.

The two classes of determinants--external and internal--are considered analytically distinct, each independently contributing to the degree of effectiveness or efficiency in the organization. Random external events, decisions by powerful actors in the focal organization's environment, and unique technical or organizational innovations all can lead independently to changes in organizational effectiveness. These

determinants may have either additive and multiplicative effects. The structure of the market can influence a firm's organizational structure. The joint effect of the environment and resulting organizational structure, can influence effectiveness in the input or outcome disposal processes.

The Role of Constituencies in Establishing Constraints, Outcomes, and Referents

The definition of organizational effectiveness has been based on viewing of an organization as an open system, transacting with the environment to gain inputs, process these, and dispose of newly created goods, and services. The definition of organization also includes the concept of constituencies and the dominant coalition. That is, the organization is composed of groups arranged around the input, transformation, and outcome disposal processes. Each group represents a constituency oriented to maximize its inducements from the organization and minimize its contributions. The constituencies may be external or internal to the organization.

The critical role of the constituencies in the present view of organizational effectiveness is in the determination of constraints, outcomes, and referents. The previous discussion has focused on questions such as: How is organizational effectiveness defined? What are its aspects? This section deals with the agents of evaluation of effectiveness, or more specifically, who determines the constraints, outcomes, and appropriate referents for evaluating

effectiveness.

The establishment of constraints, outcomes, and referents in the focal organization follows from the bargaining process between the constituencies or its representatives in the dominant coalition. Constituencies are likely to bring different preferences to the bargaining process, and conflict is likely to occur. Of interest here is not the different constituencies' referent preferences, but the process by which the dominant coalition selects referents. The referent adopted by the dominant coalition provides an important guide to behavior.

Bargaining between constituencies has two main effects. First it focuses attention on a specific set of constraints, outcomes, and referents. Why, for example, does the dominant coalition select one set of referents out of a large set of potential referents. One reason is that the bargaining process focuses attention on a specific set. That is, given the limited information processing capabilities of members of the dominant coalition, some mechanism must exist to select from the large set of potential constraints, outcomes, and referents. The bargaining process serves as such a mechanism. By focusing attention on a certain set of information, the constituencies create a degree of awareness, a necessary condition for the adopting of referents. There are many possible examples of how constituencies serve this function. Trade associations require certain types of information and provide comparable information on the industry as

a whole. This source of information provides the opportunity for the organization to select external referents and assess its effectiveness with both external and internal referents. Regulatory agencies often require organizations to collect information specific to the regulatory agency's goals (e.g., effluent standards). This source of information creates a new dimension of effectiveness for the dominant coalition to assess. Similarly, some constituencies are involved in a direct exchange of resources with the dominant coalition. This exchange often requires the generation of data (e.g., number of clients served, number of goods returned) which can be used to assess effectiveness.

The second effect of the bargaining process is that it requires the dominant coalition to assess alternative combinations of constraints, outcomes, and referents as they bear on the organization's ratio of inducements and contributions. Organizations select referents which represent the inducement-contribution balance favorably. Similarly, referents which put the organization's inducement-contribution in an unfavorable light are likely to be avoided. The problem for the dominant coalition is to assess the consequences of adopting or institutionalizing a set of constraints, referents, or outcomes advocated by a constituency. The dominant coalition's basic decision rule is to maximize the inducement-contribution balance in favor of the organization.

The following example illustrates how constraints and referents are established. Let us consider a hypothetical case of a steel

company and the Environmental Protection Agency (EPA). One of the objectives of the EPA is to monitor and improve the quality of our water resources. The more water quality improves, the better the EPA accomplishes one of its missions. One way for the EPA to fulfill its mission would be to get the steel company to adopt a particular effluent level for its discharges. This would represent a constraint for the firm. It has to satisfy this constraint operationalized in terms of some referent when determining the optimum allocation of resources in its production function. This constraint also represents a cost to the firm since resources (e.g., pollution control equipment) will have to be acquired for essentially nonproductive ends. The company would likely resist the adoption of this constraint. A bargaining process would probably ensue, with the dominant coalition in this case attempting to block any actions the Environmental Protection Agency undertakes to minimize the firm's inducement contribution ratio. The firm in this case can comply with adopting the effluent level, not comply, or propose a new level. The judgment by the dominant coalition will be in terms of the expected cost (e.g., fines, court costs, plant closedown) of complying or not complying. If the firm complies, the new constraints would be incorporated in the evaluation of the effectiveness and efficiency of the steel firm's transformation process. If the firm does not comply and the Environmental Protection Agency does not penalize the firm, then effectiveness of the transformation process would be evaluated without

the constraint. Another possible comparison point for evaluation would be to examine effectiveness of the transformation system with and without the constraint. The other option, if the firm does not comply, is that it will be assessed penalties by the Environmental Protection Agency. In this case the increased costs which will contribute to lower levels of productivity would be included in the calculations of effectiveness.

A critical point in this example is that the constraint is adopted by the dominant coalition in light of the assessment of the costs of complying versus not complying. That is, to what extent could the external constituency negatively affect the firm's inducement-contribution ratios. It is not surprising that different constituencies (Environmental Protection Agency, customers, suppliers) would like the steel firm to adopt constraints beneficial to their own interests and would view the relative effectiveness from different perspectives. We propose, however, to evaluate effectiveness not in terms of how the constituencies prefer the organization to operate, but at the level of the organization, using constraints set by the dominant coalition in the light of its interactions with its constituencies.

The discussion of establishing constraints focused on external constituencies. The same analysis would follow for internal constituencies. For example, the prisoners in a custodial institution might demand rehabilitative privileges. If the prison administration

adopted a rehabilitation policy it would provide a constraint on the custodial referents of the institution. Whether the monitoring agents or the legislature would adopt this constraint depends on its assessment of the extent to which the prisoners as a constituency can affect the prison's operations. The more expendable the demands of the inmates and the less control they have over enforcing their demands, the less likely the prison would adopt rehabilitation policies as a constraint for protecting society against the inmates.

Through a process of bargaining between the constituencies and the dominant coalition, constraints and referents are established. The constraints and referents then are used in the evaluation of effectiveness or efficiency from the point of view of the organization represented by the dominant coalition. Although constituencies may hold many referents and constraints with which to evaluate the organization, it is only as the constituencies are able to enforce these constraints and referents on the organization, that they become viable tools for assessing effectiveness.

The total cycle of processes involved in the framework of effectiveness may be described in the following way:

- 1) Bargaining between the dominant coalition and the constituencies leads to the establishment of certain constraints and referents. This occurs in respect to the input, transformation, and disposal subsystems.
- 2) Action occurs within these subsystems. Labor and materials

are acquired, new products or services generated, and the output disposed.

- 3) Within each subsystem effectiveness is assessed on whether constraints and outcomes have been satisfied and whether referents have been approximated.
- 4) Distribution of resources may follow the results of the evaluation procedure.
- 5) The bargaining process would be initiated as various constituencies evaluate the inducement -contribution balance. Internal constituencies receiving additional inducements probably would not push for additional constraints or referents relevant to their self-interests. On the other hand external constituencies may feel insufficient resources have been allocated to external requirements and the process of bargaining will be reinstated.

The present view, then, is of an organization made up of many constituencies who influence the constraints, outcomes, and referents in the input, transformation, and output disposal processes. Evaluating organizational effectiveness proceeds through a cycle which varies in terms of its formality. In some cases, especially in the context of output disposal indicators, it may be a very formal procedure (annual reports). In other cases the cycle might occur in a very loosely structured fashion. Indeed, decisions about referents and constraints in certain parts of the input-transformation -output cycle may

be unknown to those in other parts of the organization.

Review of the Literature

The purpose of this section is to contrast the present framework of organizational effectiveness with others found in the literature. The rationale is to identify the extent to which the conceptualization in this paper is the same, a synthesis, or a departure in conceptualizing effectiveness.

The actual process of comparison is quite complex. In many of the writings on effectiveness ideas and positions are both explicitly and implicitly stated. The problem in making comparisons is to accurately represent the conceptual papers we are comparing to our own. To facilitate this process only major ideas that are explicitly stated will be examined. For example, in reviewing determinants of organizational effectiveness, the writer must specify the determinants and state something about their relationship to the organizational effectiveness criteria. A casual reference or a general discussion of the structural characteristics of organizations (e.g., authority, integration) will not be used in this analysis.

Although there were a large number of conceptual frameworks that might have been selected, only five are examined. They were selected because these frameworks have been frequently referenced in the literature. Another selection criteria was to have conceptualizations of effectiveness from both the psychological and

sociological perspectives. Table 2 lists the major concepts used to compare the frameworks.

Argyris

Organizational effectiveness for Argyris represents a condition where the organization, over time, increases outputs with constant or decreasing inputs or has constant outputs with decreasing inputs (Argyris 1962, p.123). This definition treats efficiency and effectiveness as the same. That is, effectiveness is defined in input and output terms. Organizational ineffectiveness is a condition where inputs are increasing while outputs remain constant or they decrease.

This abstract definition of effectiveness is then applied to three core organizational areas: achieving objectives, maintaining the internal system, and adapting to the external environment. Effectiveness is the relationship between the outputs in these three areas over the inputs or energy used to perform these activities. For example, consider an organization whose objective is to make shoes. If an increase in shoe production occurs with the same or decreasing inputs then the organization is said to be effective in regards to that particular objective. In the area of "maintaining the internal system" Argyris includes activities such as hiring and training. Effectiveness in this area would be defined in terms of the number of people hired or trained over the resources used to perform these activities. In the third core area--adapting to the

external environment--effectiveness would be defined in a similar manner. The more favorable the company-government relationships can be achieved with the same or decreasing resources, the greater the effectiveness in this core area. Argyris also differentiates effectiveness from other concepts such as organizational stress, organizational discomfort, and organizational pseudo-effectiveness. The latter refers to a state where organizational members perceive the system to be effective when it is indeed ineffective. For our purposes the key contrasts focus on Argyris' definition of effectiveness and ineffectiveness.

Table 2 presents a contrast between our conceptualization of effectiveness and that of Argyris. The definitions are basically different. Our definition characterizes effectiveness in terms of referents, constraints, and actual outcomes. Also, efficiency and effectiveness are separated. While both conceptualizations view effectiveness as a concept comprising multiple elements, the substantive dimensions are different. Our initial break is to define effectiveness in terms of the input, transformation, and outcome processes, while Argyris defines three core areas. It would be possible to incorporate Argyris' three core areas as subdimensions within our input, transformation, and outcome dimensions. For example, the input dimension in our framework concerns the acquisition of resources. Within an organization certain subsystems, or departments, deal with this problem. Each of these departments can be conceived

of in terms of Argyris' three core areas. Personnel has to acquire manpower (objective), maintain itself as a system, and effectively adapt to its external environment.

In his discussion on organizational effectiveness Argyris briefly lists some potential internal determinants of effectiveness; however, no systematic discussion of the determinants and their interrelationships is presented. The role of constituencies both internal and external to the organization also is not discussed. While the importance of the organization's environment is indicated by Argyris' selection of adapting to the external environment as a critical core area, there is no real specification of the role of the environment in determining effectiveness or in defining effectiveness.

Argyris' analysis is clearly at the organizational level. This is a departure from the major level of analysis in his work which focuses on the effect of the organization on the individual. In terms of the time dimension Argyris does view organizations and their effectiveness from a dynamic perspective. However, there is no discussion of the time frames that might be appropriate in assessing the effectiveness of the different core areas.

Katz and Kahn

The Social Psychology of Organizations (Katz and Kahn, 1966) has been one of the most influential books on organizational

theory in the last decade. Their view on organizational effectiveness provide another comparison point for evaluating the present view of effectiveness.

Katz and Kahn define effectiveness in terms of two components — efficiency and political effectiveness. The greater the efficiency and political effectiveness the greater the organizational effectiveness.

Efficiency refers to the ratio of energetic output to energetic inputs. "Efficiency tells us how much of an input emerges as a product and how much is absorbed by the system" (Katz and Kahn, 1966, p. 170). The greater the efficiency (the closer the ratio approximates 1), the greater the profitability, storage of energy, and long run survival and growth of the organization. "Political effectiveness consists in the short run of maximizing the return to the organization by means of advantageous transactions with various outside agencies and groups and with members of the organization as well" (Katz and Kahn, 1966, p. 165). Examples of political effectiveness would include gaining materials at an advantageous price through superior bargaining or lobbying activities that lead to favorable legislation. Katz and Kahn argue that political effectiveness increases short-run profitability and can provide greater survival and growth opportunities through greater control of and adaptability to the environment.

There are a number of important differences in our conceptualization of effectiveness. First, Katz and Kahn define effectiveness in terms of efficiency and political effectiveness. Efficiency concerns the transformation process, political effectiveness primarily concerns the input and outcome disposal processes. Our definition separates efficiency and effectiveness and asserts both concepts can be applied to the input, transformation, and disposal processes. Second, the use of constraints and referents are integral to our conceptualization of effectiveness. In the Katz and Kahn statement, the best we can infer is that the greater the efficiency--the more it approximates its maximum level (potential efficiency)--the more the effectiveness. It is our view that we must move beyond the simple assertion "the more of X, the more the effectiveness" to a more specific statement of referents and constraints.

The view of an organization as an open system transacting with its environment is accepted both in our version and by Katz and Kahn. Both see the organization as an input, transformation, and output system and both see labor and materials as important determinants of effectiveness. However, the Katz and Kahn view does not elaborate on the other determinants of effectiveness and their interrelationships with the input, transformation, and outcome disposal processes. In their

discussion on determinants, the primary focus is on the psychological determinants of organizational effectiveness.

While the concept of political effectiveness clearly attests to the importance of the environment in Katz and Kahn's view of effectiveness, there is surprisingly little delineation of the nature of the organization's environment and how it interacts with the organization. Specifically we need to know more about how to describe the environment to identify its role as a determinant and as a constituency in determining constraints and referents to assess effectiveness.

The level of analysis for Katz and Kahn is at the organizational level. Their discussion of alternative levels of analysis is one of the best in the organizational effectiveness literature. Similarly, their view of the time dimensions is better elaborated than any of the alternative viewpoints presented in Table 2 . The only difference between our conceptualization and theirs relevant to the time dimension, is our specification of some of the parameters for identifying appropriate time frames in assessing effectiveness.

Seashore and Yuchtman

Seashore and Yuchtman have advocated the "system resource approach" to organizational effectiveness. They define effectiveness of an organization in terms of its bargaining

position. That is, how well can it exploit its environment in the acquisition of scarce and valued resources (Yuchtman and Seashore, 1967, pp. 897-898).

The bargaining position refers to the ability of the organization to acquire resources. Energy in the form of human activity is an example of a resource. It is scarce, valued, and universally required by all organizations. Other universal resources include physical facilities, technology for the organization's activities, and some commodity such as money which can be exchanged for other resources. Seashore and Yuchtman identify other dimensions on which resources can be described: liquidity, stability, relevance, universality, and substitution.

The highest level of organizational effectiveness is reached when the organization maximizes its bargaining position and optimizes its resource procurement. The authors here distinguish between the capability of exploiting the environment and the idea of an optimum point in actually transacting with the environment. The latter case is introduced to indicate that drawing too much from the environment can lead to depletion and/or devaluation of resources and to organizational ineffectiveness. In their conceptualization of effectiveness the authors suggest in that practice most assessments of effectiveness will be on a relative basis. That is, it is difficult to identify in an absolute sense the maximum bargaining position. Therefore, most assessments of

effectiveness are derived from comparing the focal organization's bargaining position with another organization's bargaining position.

Our definition of effectiveness differs from that of Seashore and Yuchtman in that it does not focus primarily on resource acquisition. We have viewed effectiveness as the relationship among actual outcomes, constraints, and referents for the input, transformation, and outcome processes. Their definition focuses primarily on the input and outcome disposal processes. It primarily concerns comparing the focal and some other organization in relationship to bargaining position and optimum procurement. The concept of constraints and referents other than some comparison organization is not discussed.

Although both concepts of effectiveness are derived from an open systems view of organizations, there are other differences between the two conceptualizations. First, there is no specification of the determinants of effectiveness. In a subsequent paper Seashore and Yuchtman (1967), examine some psychological determinants of effectiveness, but this represents a rather limited set of the total set of possible determinants. Second, although there is a strong emphasis on the environment, there is no specification of how the environment serves as a determinant of effectiveness or of the role of constituencies,

either internal or external, in establishing referents or constraints.

In terms of level of aggregation, their conceptualization is clearly at the organizational level. Also, the dynamic character of organizational effectiveness criteria is explicit in their writings. However, the time dimension is not sufficiently elaborated to identify appropriate time periods for assessing different organizational effectiveness indicators.

Mohr

"The Concept of Organizational Goal" by Mohr (1973) provides an extensive discussion on referents, outcomes, and constraints but deals only marginally with organizational effectiveness, its determinants, and measurement. However, the goal concept is obviously important for organizational effectiveness in that it provides the criteria against which assessment can be accomplished. Mohr's paper deals with many of the issues which were raised before and has influenced the development of the present framework.

Mohr views a goal as an intent to achieve some outcome and "whose direct referent is either the organization itself as an institution or some aspect of the organization's environment," (1973, p. 475). He goes on to classify goals as reflexive and transitive. The first type refers to inducements being sufficient

to evoke contributions from the members; the second type refers to the intended impact on the organization's environment. Referents are further made explicit when he suggests the requirements for pursuing transitive goals and the kinds of inducements to satisfy members. This classification of reflexive and transitive goals is also an attempt to increase the scope of organizational effectiveness beyond the narrow notion of output disposal.

While his recognition of referents and outcomes is similar to our concepts of referents and outcomes Mohr stresses intent as an essential ingredient of effectiveness. However, he is very critical of Simon's (1958) notion of constraints which the present framework has adopted as an integral element. This concept is viewed as operationally cumbersome. Furthermore, Simon (1958) is allegedly vague in providing a rule for determining what is or what is not a constraint as distinct from goal. While the first criticism is justified, the latter one is somewhat beside the point. When evaluating an organization's effectiveness it is mandatory to specify both the intended outcomes as well as the minimum conditions that often are made explicit. Mohr makes such an admission himself when he writes: "When certain sub-objectives have been spelled out, the evaluation may also serve to inform program personnel where

they have failed to achieve a necessary precondition, [i.e., a constraint!]" (1973, p. 479).

Mohr gives an elaborate discussion of constituencies and the existence of a dominant coalition. As a political scientist, he is aware of the potential political processes in organizations as well as the related difficulty of dissensus about organizational goals and the corresponding problem of aggregating information derived from members' responses. These responses yield information on goals as organizational, collective properties. They are collective rather than individual in that they are obtained by aggregating, e.g., average intensity of majority opinion.

Thompson's (1967) notion of dominant coalition conveys a certain amount of consensus and is proposed as a device for conceptualizing collective intent. He further incorporates the idea of program goal to facilitate the search for referents that are pursued collectively. On the other hand he incorporates Seashore and Yuchtman's (1967) system resource acquisition to further clarify reflexive effectiveness and survival.

Mohr's framework does not, however, distinguish between internal and external constituencies although these concepts underly some of his statements. Furthermore, the determinants of effectiveness--internal or external--are not well specified in his paper.

Table 2 presents the similarities and dissimilarities between his conceptualization and the present framework. Altogether, Mohr's paper represents a novel attempt to deal with unresolved issues about organizational effectiveness. It links the systems and goal approach and shows why they are complementary rather than alternative ways of analyzing organizational effectiveness. The paper is also unique in that it expands organizational effectiveness to include effectiveness from the perspective of the environment and even the society at large (p. 487) as well as from the perspective of the individual members.

Price

Organizational Effectiveness, a monograph by James L. Price (1968), is primarily concerned with developing propositions about the determinants of organizational effectiveness. It reviews fifty studies that have attempted to explain variations in organizational effectiveness. The monograph does not attempt to conceptualize organizational effectiveness. Degree of goal attainment is used as one general definition of effectiveness. Also variables such as productivity, morale, conformity, adaptiveness are viewed as potential indicators of effectiveness. These variables, however, are not integrated into any pattern or conceptual structure. In a subsequent paper (1971) Price discusses the system and goal definitions of organizational

effectiveness as well as the distinctions between efficiency and effectiveness. His own conceptualization remains somewhat unclear as to the dimensions of effectiveness.

The major focus of the 1968 monograph is on the internal and external determinants of effectiveness as well as the role of constituencies.

Unfortunately, Price does not clearly differentiate environmental actors as either determinants or constituencies; that is, he tends to merge these two "roles" so that an actor which makes claims on the organization is often also seen as being a crucial antecedent of effectiveness. In particular, the external "components of the political system" are described in reference to their role of inhibiting or enhancing the returns to the organization. There is little awareness of environment as primarily a set of determinants which are not subsumed under the label of "political system." On the other hand, the organizational components are treated as either determinants per se or determinants and constituencies.

In the review paper (Price 1971) there is also a tendency to treat constituencies as determinants. That paper nicely complements the monograph but fails to deal with relevant issues such as aggregation, time aspects of effectiveness, and the multidimensionality of effectiveness. Table 2 contrasts our framework with Price's work.

Besides these five authors there are many more contributions

which deal with some of the issues raised in this paper (e.g., Friedlander and Pickle, 1973; Steers, 1975; Mahony and Weltzel, 1969; Georgopolous and Mann, 1962; Tannenbaum, 1968; Child, 1974, 1975; Mott, 1972; Caplow, 1964; Neghandhi and Reimann, 1973; Pennings, 1975, 1976; Webb, 1974; Georgopolous and Tannenbaum, 1957; Campbell, et al., 1975; Hirsch, 1975). As was mentioned before, many of these studies provide little closure and on the aggregate there is insufficient cumulative progress. By developing a conceptual framework we may alter the present practice and try to steer the efforts in distinct directions.

Conclusion

The usefulness of the present framework may be evaluated by developing alternative research strategies. Similarly, it may facilitate the reconciliation of many previous studies in organizational behavior--both those which attempted to measure effectiveness and those which tried to delineate its antecedents. Some of the major traditions in organizational behavior can be viewed as aiming at, explaining, or prescribing conditions which enhance effectiveness--for example systems theory (Katz and Kahn, 1966), expectancy theory (Vroom, 1964), structural contingency theory (Thompson, 1967; Pennings, 1975), and personality-organization theory (Argyris, 1973; Likert, 1966). Some of these theories have gained major status among researchers but there is little cross fertilization. In fact, there is frequent controversy

and antagonism in which adversaries accuse each other of wishful thinking, witness, for example, the Perrow (1972)-Argyris (1973) debate. The present framework can easily accommodate these positions thereby enhancing their contribution to the understanding of organizational effectiveness. It has also the potential to point to complementarity among various approaches.

The Perrow-Argyris debate provides an interesting illustration of how the present framework may exploit complementarity among theories rather than disjointedness. The structural contingency theory or technological imperative as embodied by the writings of Perrow attributes differences in organizational structure to variations in technological and environmental conditions. Organizations have to be tuned in structurally to these conditions. For example, if there is uncertainty in technology or environment, organizations have to be flexible, decentralized, informal, and participative, while the opposite is true whenever the technology or environment is certain, routine, and predictable. Effectiveness, at least implicitly, is a function of the goodness of fit between organizational structure and technology and environment (Perrow, 1972; Mohr, 1971; Hickson, et al., 1969; Pennings, 1975).

There are also viewpoints that ignore technology and environment or which take these factors as a given. The classical scientific management authors are a well known case in point. Recent contributions by Likert (1966) and Argyris (1973), however,

have also aimed at identifying the form of organization which is most conducive to organizational effectiveness. Likert (1966) argues that organizations with system IV have the best performance record. This structure is characterized by participative group management, communication flows upwards as well as downwards and with peers and close psychological relationships. Argyris (1973) who takes very strong issue with authors such as Perrow (1972) is even more explicit in meshing psychological predispositions and organizational requisites to promote effectiveness. Personality characteristics, group dynamics, and interpersonal relationships cannot be ignored. There are also psychological theories, such as expectancy theory, which deal exclusively with individual factors of effectiveness.

Expectancy theory focuses on the motivational antecedents of performance; it is a more elaborate version of economic utility theory (Vroom, 1964). The essential ingredients of this theory imply that individuals who are capable of doing so, will work harder to increase their performance levels if this promotes the rewards they derive from employment. Such a theory would assert that more effective organizations are those which have employees who believe that effort leads to performance and performance to rewards with high utility.

Although more individual than organizational, these theories are compatible with the present framework and delineate some of the pertinent psychological determinants of organizational effectiveness, while the more sociologically oriented theories are instrumental in

identifying organizational, technological, and environmental determinants.

Rather than choosing sides, the proposed framework allows for inclusion of different approaches or theories by stressing their complementarity. For example, Argyris' views have relevance for internal, organizational determinants of effectiveness. They are also helpful in isolating problem-solving areas in which competing constituencies can establish satisfactory relationships and common outcomes. Similarly, Likert's "linking pin" concept integrates both horizontal and vertical constituencies and provides a device for improving effectiveness and efficiency. At the same time the framework can incorporate sociological approaches such as structural contingency theory by its implicit recognition of environmental and technological conditions. It also fits well with the recent trends in organizational sociology dealing with interorganizational relationships and organizational effectiveness. Hopefully, the framework will stimulate future research to identify the relative importance of determinants of organizational effectiveness.

The framework also allows room for effectiveness studies that stress either outcomes or goal achievement versus process. For example, it can be useful for evaluation research on programs such as Headstart, TVA, joint ventures, and intervention by outside consultants. This research is primarily concerned with a priori outcomes or goals. More process-oriented research, for example, on

the quality of organizational membership or growth and decline of organizations, could also be accommodated by the framework.

Apart from such theoretical/empirical considerations, the framework may also give fresh impetus to methodological developments. For example, we need to examine how constituencies apply different weights to preferred outcomes and constraints. Methodologically, there is the need to combine the different constituencies with their profiles of preferred outcomes and referents into some multidimensional space. Perhaps such an approach is still too ambitious and has to be broken down into stages which initially develop composite aspects, mappings of the structure, or pattern-of-effectiveness aspects.

The aspect of time frames, developed earlier, involves two issues: (1) whether effectiveness criteria are dynamic or static, and (2) which time frame to use when examining the relationship between determinants and outcomes. This latter concern is obviously very relevant in research involving constraints, referents, and outcomes. But the choice of time periods is also critical in research involving changes in environmental and organizational conditions or lagging changes in effectiveness.

Ideally, this framework will not only integrate existing approaches and improve research methodology, hopefully it will also generate new propositions and lines of research which will improve our understanding of both the nature and determinants of organizational effectiveness.

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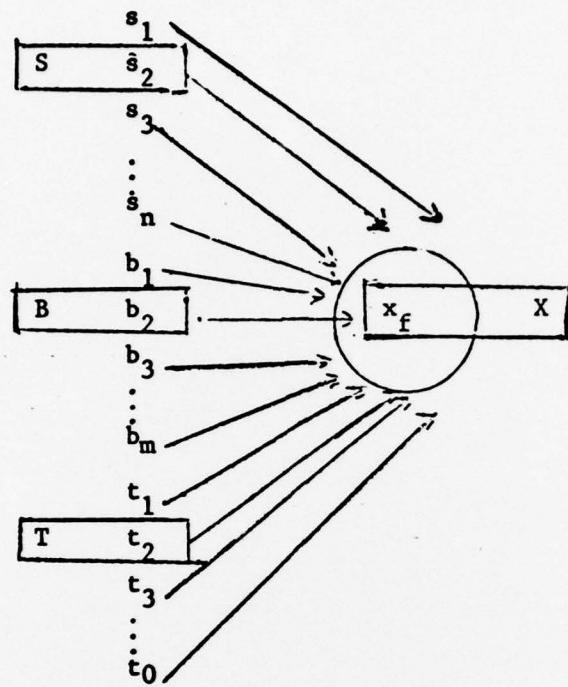
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Figure 1 Schematic description of organizational environment*



* Meaning of symbols

x_f = focal organization

X = $\{x_1, x_2, x_3 \dots x_p\}$ competitors of focal organization

s_i = supplier

S = $\{s_{21}, s_{22}, s_{23} \dots s_{2q}\}$ competitors of supplier 2 (secondary environment)

b_i = buyer

B = $\{b_{21}, b_{22}, b_{23} \dots b_{2r}\}$ competitors of buyer 2 (secondary environment)

t_i = third party, e. g., regulatory agency, pressure group, government, etc.

t_{2i} = $\{t_{21}, t_{22} \dots t_{2s}\}$ Third parties associated with t_2 , but not interacting with x_f (secondary environment).

Table 1

A Classification of Different Types of
Referents by Constraints and Outcomes

Referents			
Objects	Static		Dynamic
	Internal	External	Internal
Constraints			
Outcomes			

Table 2
 Comparison of the New Framework
 with Alternative Frameworks

	New Model (1976)	Argyris (1964)	Mohr (1973)	Price (1971)	Kahn (1966)	Seashore Yuchtman (1967)
A. Concept of Effectiveness						
Definition	✓	✓	✓	✓	✓	✓
Dimensions	✓	✓	✓	0	✓	✓
Constraints-referents	✓	0	✓	0	✓	0
Effectiveness vs. efficiency	✓	0	✓	✓	✓	✓
B. Concept of Organization						
Systemic determinants	✓	0	0	✓	✓	✓
Constituencies	✓	0	0	✓	0	0
C. Concept of environment						
Determinants	✓	0	0	✓	0	0
Constituencies	✓	0	0	✓	0	0
D. Level of Aggregation						
Individual	0	0	0	0	0	0
Suborganization- organization	✓	✓	✓	0	✓	✓
Societal	0	0	✓	0	0	0
E. Time Dimensions						
Static vs. Dynamic	✓	✓	0	0	✓	✓
Time periods for assessing effectiveness	✓	0	0	0	0	0

 ✓ = Issue is explored

0 = Issue is not explored or not explored in detail

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